



**Application for Exclusion from Filing  
Stockbroker Position Statement**

DR-350617  
R. 01/04

Company name: \_\_\_\_\_ Dealer file number: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

This application for exclusion from filing stockbroker position statements under the provision of section 199.062 (3), Florida Statutes, is due on or before June 30th of each year. Please indicate below the statement that best describes your company.

- \_\_\_\_\_ 1. Sells limited partnerships or direct private placements, and does not hold securities on account for customers.
- \_\_\_\_\_ 2. Registered investment advisor and does not hold securities on account for customers.
- \_\_\_\_\_ 3. Sells securities or annuities but does not hold securities on account for customers through itself or an agent.
- \_\_\_\_\_ 4. An introducing dealer who is fully disclosed.

Clearing firm's name: \_\_\_\_\_

Address: \_\_\_\_\_ Phone: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Contact person: \_\_\_\_\_

- \_\_\_\_\_ 5. Other: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I certify that the information entered on this application, including attached statements, has been examined by me and is, to the best of my knowledge and belief, correct and complete.

Company representative signature: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

**Mail to:** STOCKBROKER ENFORCEMENT UNIT  
ENFORCEMENT OPERATIONS  
FLORIDA DEPARTMENT OF REVENUE  
5050 W TENNESSEE ST BLDG G  
TALLAHASSEE FL 32399-0100